



17607  
U.S. PTO

ATTORNEY'S DOCKET NO.  
020776.0119

PATENT APPLICATION

1

TRANSMITTAL FOR U.S. PATENT APPLICATION  
UNDER 37 CFR §1.53(b)

22154 U.S. PTO  
10/736723



**Mail Stop Patent Application**  
Commissioner of Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Exp. Mail Cert. EV 323453775 US

Sir:

Transmitted herewith for filing is the original patent application of:

Inventor: Kalman A. Lifson

For: STOCK PORTFOLIO AND METHOD

Enclosed are:

- X   Specification, Claims and Abstract (39 pages);
- X   Patent application filing fee in the amount of \$430.00;
- X   Drawing(s)   2   Total Sheet(s) of   X   Formal      Informal);
- X   Combined Declaration and Power of Attorney (3 pages)  
      X   Newly executed (original or copy);
- X   Verified Statement (Declaration) Claiming Small Entity Status (1 page);
- X   Information Disclosure Statement (2 pages);
- X   PTO Form 1449 (1 page with 2 references);
- X   Certificate of Mailing by Express Mail (1 Page);
- X   Baker Botts L.L.P. acknowledgment return receipt postcard (1 card); and
- X   This Transmittal (2 pages).

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PATENT APPLICATION

2

Applicant is:

☐ Large Entity  
☒ Small Entity

The accompanying application is:

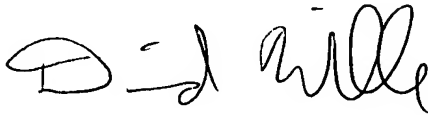
☒ Original.  
☐ Continuation ☐ Divisional ☐ Continuation-In-Part (CIP) of prior application No. \_\_\_\_\_ which is hereby incorporated by reference therein.

FEE CALCULATION					FEE
	Number		Number Extra	Rate	Basic Fee \$ 385.00
Total Claims	25	20	5	X \$ 9.00 =	\$ 45.00
Independent Claims	3	3	0	X \$43.00 =	\$ 0.00
TOTAL FILING FEE =					\$ 430.00

Please charge any additional fees or credit any overpayment to Deposit Account No. 02-0384 of Baker Botts L.L.P. This document is being transmitted in duplicate.

Respectfully submitted,

BAKER BOTTS L.L.P.  
Attorneys for Applicant



David G. Wille  
Reg. No. 38,363

Date: December 15, 2003

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**05073**

Patent Trademark Office

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Kalman A. Lifson  
Filing Date: December 15, 2003  
Title: STOCK PORTFOLIO AND METHOD

**MAIL STOP PATENT APPLICATION**

Assistant Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Sir:

CERTIFICATE OF MAILING BY EXPRESS MAIL

I hereby certify that the attached Transmittal Form (2 pages), Patent Application (39 pages), Formal Drawings (2 pages), combined Declaration and Power of Attorney (3 pages), Verified Statement (Declaration) Claiming Small Entity Status (1 page), Information Disclosure Statement (2 pages), PTO Form 1449 (1 page with 2 references), a Baker Botts L.L.P. acknowledgment postcard (1), check in the amount of \$430.00, and this Certificate of Mailing by Express Mail are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on this 15<sup>th</sup> day of December 2003 and addressed to the Commissioner for Patents, P. O. Box 1450 Alexandria, VA 22313-1450.

  
\_\_\_\_\_  
Willie Jiles

Express Mail Receipt  
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